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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/632,340

08/01/2003

Cornelia J. Forster

VPI/02-119 US

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09/28/2006

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130 WAVERLY STREET
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EXAMINER

BALASUBRAMANIAN, VENKATARAMAN

ART UNIT

PAPER NUMBER

1624

DATE MAILED: 09/28/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 10/632,340	Applicant(s) FORSTER ET AL.	
	Examiner Venkataraman Balasubramanian	Art Unit 1624	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 17 July 2006.
 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-4,7-15,18,23 and 24 is/are pending in the application.
 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
 5) ☐ Claim(s) _____ is/are allowed.
 6) ☒ Claim(s) 1-4,7-15,18,23 and 24 is/are rejected.
 7) ☐ Claim(s) _____ is/are objected to.
 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
 a) ☐ All b) ☐ Some * c) ☐ None of:
 1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date <u>7/17/2006</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Applicants' response, which included cancellation of claims 5-6, amendment to claims 1, 12-15 and addition of new claim 24, filed on 7/17/2006, is made of record. Claims 1-1-4 and 7-24 are now pending.

Upon initial review, in a telephone conversation, counselor Jennifer Che in order to expedite an allowance, authorized cancellation of claim 15. However, upon further consideration it became apparent that the Obviousness-type double patenting rejection made in the previous office has not been obviated by amendment. Due to lack of time, in view of applicants' response, the following rejections are applied.

Claim Rejections - 35 USC § 112

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claim 15 is rejected under 35 U.S.C. 112, first paragraph, because the specification, while being enabling for a method of inhibiting GSK-3 activity in a standard biological assay, does not reasonably provide enablement for a method of inhibiting GSK-3 activity in a biological sample generally for the purpose of blood transfusion, organ transplantation, etc. The specification does not enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to use the invention commensurate in scope with these claims.

In evaluating the enablement question, several factors are to be considered. Note *In re Wands*, 8 USPQ2d 1400 and *Ex parte Forman*, 230 USPQ 546. The factors

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include: 1) The nature of the invention, 2) the state of the prior art, 3) the predictability or lack thereof in the art, 4) the amount of direction or guidance present, 5) the presence or absence of working examples, 6) the breadth of the claims, and 7) the quantity of experimentation needed. The determination that "undue experimentation" would have been needed to make and use the claimed invention is not a single, simple factual determination. Rather, it is a conclusion reached by weighing all the above noted factual considerations.

The instant claim is drawn to 'a method of inhibiting GSK-3 activity in a biological sample' and the term "biological sample" as per the definition in the specification (page 21, lines 11-134 "includes, without limitation, cell cultures or extracts thereof; biopsied material obtained from a mammal or extracts thereof; and blood, saliva, urine, feces, semen, tears, or other body fluids or extracts thereof".

First, the instant claim 15 is a 'reach through' claim. Reach through claims, in general have a format drawn to mechanistic, receptor binding or enzymatic functionality and thereby reach through to the corresponding therapeutic method of any or all diseases, disorders or conditions, for which they lack written description and enabling disclosure in the specification thereby requiring undue experimentation for one of skill in the art to practice the invention.

As can be seen from the definition of the term "biological sample", without limitation it reads on many and all types of biological samples, which can include mammals or animals and therefore, the claimed method is seen to encompass an inhibitory method wherein the compound is administered to an animal. This is further

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evident from the purpose of the inhibition of GSK-3 activity stated in pages 21, lines 11-18, which includes for example, blood transfusion, organ-transplantation, etc. As the inhibition of GSK-3 activity in a biological sample is disclosed to be useful for blood transfusion, organ-transplantation, etc., it implicitly reads on the inherent therapeutic methods characterized by the activity, which as per the specification includes numerous types of diseases/disorders recited in page 20

The sole testing assay provided in the specification at page 32 is to test the ability of the compounds to inhibit GSK-3 β activity using a standard coupled enzyme system, however, there is insufficient guidance in the disclosure regarding the provided assay. First, the specification provides that the coupled enzyme system is provided in Fox et al., however, the cited article deals with inhibition of p38 MAP kinase activity. Next, applicant has not provided how this correlates with the efficacy in all types of biological samples encompassed by the instant method and their use in the various purposes wherein the inhibition activity is useful. For example, blood transfusion is the process of transferring blood or blood-based products from one person into the circulatory system of another. Blood transfusions may be seen as a procedure to treat some medical conditions, such as massive blood loss due to trauma, surgery, shock and where the red cell producing mechanism (or some other normal and essential component) fails. Similarly, an organ transplantation is the transplantation of a whole or partial organ from one body to another (or from a donor site on the patient's own body), for the purpose of replacing the recipient's damaged or failing organ with a working one from the donor site. As can be seen from the above, without limitation these purposes

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are intended for therapeutic methods and applicant has not provided competent evidence sufficient to enable the claimed method.

Further, the originally claimed method alternatively recited the use of 'a pharmaceutical composition comprising the compound of formula I and a pharmaceutically acceptable carrier, adjuvant or vehicle' as being added to the biological sample, see the last three lines of the claim. A pharmaceutical composition of the kind recited in the instant claims is generally used for internal administration type therapeutic methods. Therefore, the instant claim appears to be directed to the various types of therapeutic methods associated with GSK-3 inhibition activity.

Thus, factors such as "sufficient working examples", "the level of skill in the art" and "predictability", etc. have been demonstrated to be sufficiently lacking in the use of the invention. In view of the breadth of the claim, the chemical nature of the invention, the unpredictability of ligand-receptor interactions in general, and the lack of working examples regarding the activity of the claimed compounds, one having ordinary skill in the art would have to undergo an undue amount of experimentation to use the invention commensurate in scope with the claims.

MPEP §2164.01(a) states, "A conclusion of lack of enablement means that, based on the evidence regarding each of the above factors, the specification, at the time the application was filed, would not have taught one skilled in the art how to make and/or use the full scope of the claimed invention without undue experimentation. In re Wright, 999 F.2d 1557,1562, 27 USPQ2d 1510, 1513 (Fed. Cir. 1993)." That conclusion

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is clearly justified here and undue experimentation will be required to practice Applicants' invention.

Claim Rejections - 35 USC § 101

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

The claimed invention lacks patentable utility. As noted above in the 112 first paragraph rejection, the method of inhibiting GSK3 kinase is implicitly intended for treating various diseases. However, as recited in the amended claims appear to be for inhibiting the said enzyme in biological samples. Specification does not teach or suggest any utility of the instant compounds. Hence, the method of inhibiting GSK3 kinase lacks utility to the extent it is limited to inhibition of GSK3 kinase in biological samples.

Double Patenting

The nonstatutory double patenting rejection is based on a judicially created doctrine grounded in public policy (a policy reflected in the statute) so as to prevent the unjustified or improper timewise extension of the "right to exclude" granted by a patent and to prevent possible harassment by multiple assignees. See *In re Goodman*, 11 F.3d 1046, 29 USPQ2d 2010 (Fed. Cir. 1993); *In re Longi*, 759 F.2d 887, 225 USPQ 645 (Fed. Cir. 1985); *In re Van Ornum*, 686 F.2d 937, 214 USPQ 761 (CCPA 1982); *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970); and, *In re Thorington*, 418 F.2d 528, 163 USPQ 644 (CCPA 1969).

A timely filed terminal disclaimer in compliance with 37 CFR 1.321(c) may be used to overcome an actual or provisional rejection based on a nonstatutory double patenting ground provided the conflicting application or patent is shown to be commonly owned with this application. See 37 CFR 1.130(b).

Effective January 1, 1994, a registered attorney or agent of record may sign a terminal disclaimer. A terminal disclaimer signed by the assignee must fully comply with 37 CFR 3.73(b).

Claims 1-4, 7-15, 18, 23 and 24 are rejected under the judicially created doctrine of obviousness-type double patenting as being unpatentable over claims 1-15 of U.S.

Patent No. 6,696,452. Although the conflicting claims are not identical, they are not patentably distinct from each other because the subject matter embraced in the instant claims is an obvious variant of the subject matter taught in the claims of US 6,696,452. Note when R^x is hydrogen, R^2 and $R^{2'}$ form a benzo ring or pyridine ring with C-ring as substituted phenyl and R^y an optionally substituted aliphatic group, the compounds, composition and the method of use with same mode of action taught by US 6,696,452 overlap with the instant claims 1-4 and 7-15.

This rejection is same as made in the previous office action except that the cancelled claims are excluded from this rejection. Applicants' amendment to limit W to N did not overcome this rejection. Claim 1 of the US patent 6,696,452 permits indazole ring with additional heteroatoms and hence teaches equivalency of the said rings with those exemplify. Furthermore, the species claim 9 includes species which differ only in not having a nitrogen in the indazole ring, see column 440, third species, column 451, third and fourth species, column 452 all four species, column 453-456, all species and column 457 all four species. Thus, it would be obvious to one trained in the art to make compounds including those bearing a nitrogen in the indazole ring and expect those compounds to possess the use taught in the art in view of equivalency teaching outlined above.

Hence, this rejection is maintained.

Conclusion

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP

§ 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication from the examiner should be addressed to Venkataraman Balasubramanian (Bala) whose telephone number is (571) 272-0662. The examiner can normally be reached on Monday through Thursday from 8.00 AM to 6.00 PM. The Supervisory Patent Examiner (SPE) of the art unit 1624 is James O. Wilson, whose telephone number is 571-272-0661. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (571) 272-1600.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAG. Status information for unpublished applications is available through Private PAIR only. For

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more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-2 17-9197 (toll-free).


Venkataraman Balasubramanian

9/25/2006